



		Application Number	(Unassigned)
TRANSMITTAL FORM		Filing Date	(Herewith)
		First Named Inventor	Hans P. Dietz ET AL.
(to be used for all correspondence after initial filing)		Group Art Unit	(Unassigned)
		Examiner Name	(Unassigned)
Total Number of Pages in This Subm	ission	Attorney Docket Number	99-639
	ENCL	OSURES (check	all that apply)
X Fee Transmittal Form	X Assignm	nent Papers Application)	After Allowance Communication to Group
X Fee Attached	X Drawing	(s)	Appeal Communication to Board of Appeals and Interferences
Amendment / Reply	Licensin	g-related Papers	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Final	Petition		Proprietary Information
Affidavits/declaration(s)	Provisio	to Convert to a nal Application	Status Letter
Extension of Time Request	Power of Change Address	of Attorney, Revocation of Correspondence	X Other Enclosure(s) (please identify below):
	Termina	I Disclaimer	
Express Abandonment Request Request		t for Refund	See 1 in Addendum
X Information Disclosure Statement CD, Nur		mber of CD(s)	
Certified Copy of Priority Document(s)	Remarks	1	
Response to Missing Parts/ Incomplete Application			
Response to Missing Parts under 37 CFR 1.52 or 1.53			• •
under 37 CFK 1.52 OF 1.55			
SIGNATU	RE OF APPLI	CANT, ATTORNEY, OR	AGENT
Firm or Individual name  James R. Sm	ith, Regis	tration No. 41,31	.8
Signature Mmu 2.	lunk		
Date May 29, 200	1		
	CERTIF	ICATE OF MAILING	
I hereby certify that this correspondence is being envelope address to: Assistant Commissioner for	deposited with th	e United States Postal Serv	
Typed or printed name James R	. Smith		
Signature / Names	S. Au	Date	05/82/01

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## **FEE TRANSMITTAL** for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

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Co	ompl t if Known	
Application Number	(Unassigned)	
Filing Date	(Herewith)	
First Named Inventor	Hans P. Dietz ET AL.	
Examiner Name	(Unassigned)	
Group Art Unit	(Unassigned)	
Attorney Docket No.	99-639	

METHOD OF PAYMENT	FEE CALCULATION (continued)					
The Commissioner is hereby authorized to charge indicated foca and credit pay everypowers to:	3. ADDITIONAL FEES					
indicated fees and credit any overpayments to:  Deposit		Larg		Sma		
Account Number 03-1129	Fee	Enti	ry Fee	Entit Fee		Fee Paid
Deposit Deposit	Cod		Cod		Fee Description	ree raid
Account Name		130	205	65	Surcharge - late filing fee or oath	
X Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		50	227	25	Surcharge - late provisional filing fee or cover sheet	
Applicant claims small entity status.	139	130	139	130	Non-English specification	
See 37 CFR 1.27	147	2,520	147	2,520	For filing a request for ex parte reexamination	n
2. Payment Enclosed:	112	920*	112	920*	Requesting publication of SIR prior to	
Check Credit card Order Other	113	1,840*	113	1 840*	Examiner action * Requesting publication of SIR after	4
FEE CALCULATION	''`	1,010	110	1,040	Examiner action	222
1. BASIC FILING FEE	115	110	215	55	Extension for reply within first month	3
Large Entity Small Entity	116	390	216	195	Extension for reply within second month	* **
Fee Fee Fee Fee Description Code (\$) Code (\$) Fee Paid	117	890	217	445	Extension for reply within third month	<del>≸ 3</del> 5
101 710 201 355 Utility filing fee 710	118	1,390	218	695	Extension for reply within fourth month	\$ <del>\$ </del>
106 320 206 160 Design filing fee	128	1,890	228	945	Extension for reply within fifth month	
107 490 207 245 Plant filing fee	119	310	219	155	Notice of Appeal	2
108 710 208 355 Reissue filing fee	120	310	220	155	Filing a brief in support of an appeal	
114 150 214 75 Provisional filing fee	121	270	221	135	Request for oral hearing	
	138	1,510	138	1,510	Petition to institute a public use proceeding	00 <del>1</del>
SUBTOTAL (1) (\$) 710	140	110	240	55	Petition to revive - unavoidable	<del>전 4 월</del> 일
2. EXTRA CLAIM FEES Fee from	141	1,240	241	620	Petition to revive - unintentional	<u>₹</u>
Extra Claims below Fee Paid		1,240	242	620	Utility issue fee (or reissue)	
Total Claims 4 -20** = 0 X 18 = 0	143	440	243	220	Design issue fee	
Claims 2 2 -3 - 0 ^ 80 = 0	144	600	244	300	Plant issue fee	120
Multiple Dependent	122	130	122	130	Petitions to the Commissioner	130
Large Freite a 11 F 11	123	50	123	50	Processing fee under 37 CFR 1.17(q)	
Large Entity Small Entity Fee Fee Fee Fee Description	126	180	126	180	Submission of Information Disclosure Stmt	
Code (\$) Code (\$) 103 18 203 9 Claims in excess of 20	581	40	581	40	Recording each patent assignment per property (times number of properties)	
102 80 202 40 Independent claims in excess of 3 104 270 204 135 Multiple dependent claim, if not paid	146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
109 80 209 40 ** Reissue independent claims over original patent	149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
110 18 210 9 ** Reissue claims in excess of 20	179	710	279	355	Request for Continued Examination (RCE)	
and over original patent	169	900	169	900	Request for expedited examination of a design application	
SUBTOTAL (2) (\$) 0	Othe	r fee (s	pecify	·)	or a design application	
**or number previously paid, if greater; For Reissues, see above	*Red	uced by	y Basi	c Filing	Fee Paid SUBTOTAL (3) (\$)	130

SUBMITTED BY	Complete (if applicable)				
Name (Print/Type)	James R. Smith	Registration No. (Attorney/Agent)	41,318	Telephone	(309) 636-1569
Signature	Sund & some			Date	05/29/2001

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## Addendum

Declaration
 Acknowledgement Postcard
 Request/Petition Under CFR 1.53(c)
 Preliminary Amendment

## PATENT APPLICATION

01PK 2 9 2001 1

THE UNITED STATES PATENT AND TRADEMARK OFFICE

# 4

In re Application of	) Group Art Unit: (Unassigned
HANS P'. DIETZ, ET AL.	) Examiner: (Unassigned)
Application Number: Unassigned	)
Filed: Unassigned	)
Title: METHOD AND APPARATUS FOR	)
CONTROLLING POSITIONING OF AN IMPLEMENT OF A WORK	) )
MACHINE	)
Attorney Docket No.: 99-639	_ )

Peoria, Illinois 61629-6490

May 29, 2001

Assistant Commissioner for Patents Washington, D.C. 20231

## INFORMATION DISCLOSURE STATEMENT

Sir:

The following information and attached material are submitted for the Examiner's consideration relative to one or more of the claims in the above-identified application. A PTO 1449 (SB08) form and a copy, if required, of each item listed thereon are attached.

Respectfully submitted,

James R. Smith

Registration No. 41,318

Caterpillar Inc.

Telephone: (309) 636-1569

JRS:kko Enc.

MAY 2 9 2001  Please type a plus sign (+) inside this box → +	0	PTO/SB/08A (10-96)
	Patent and Tradem	proved for use through 10/31/99. OMB 0651-0031 park Office: U.S. DEPARTMENT OF COMMERCE
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Substitute for form 1449A/PTO	C	omplete if Known
ADE	Application Number	(Unassigned)
INFORMATION DISCLOSURE	Filing Date	(Herewith)
STATEMENT BY APPLICANT	First Named Inventor	Hans P. Dietz ET AL.
	Group Art Unit	(Unassigned)

(use as many sheets as necessary)

of

1

Sheet

		U.S. PATENT DOCUMENTS							
Cite No.1	U.S. Patent Number		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				
	4,844,685		Thomas M. Sagaser	7-4-1989					
	5,062,264		Frenette et al.	11-5-1991					
	5,182,908		Devoer et al.	2-2-1993					
	5,189,940		Hosseini et al.	3-2-1993					
	5,333,533		Javad Hosseini	8-2-1994					
	5,511,458		Kamata et al.	4-30-1996	·				
	5,617,723		Hosseini et al.	4-8-1997					
	5,701,793		Gardner et al.	12-30-1997					
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		No.1 Number  4,844,685  5,062,264  5,182,908  5,189,940  5,333,533  5,511,458  5,617,723	No.1 Number (find Code <sup>2</sup> (#known)  4,844,685  5,062,264  5,182,908  5,189,940  5,333,533  5,511,458  5,617,723	No.¹         Number         Kind Code² (Hknown)         of Cited Document           4,844,685         Thomas M. Sagaser           5,062,264         Frenette et al.           5,182,908         Devoer et al.           5,189,940         Hosseini et al.           5,333,533         Javad Hosseini           5,511,458         Kamata et al.           5,617,723         Hosseini et al.	Cite No.1         Number         Kind Code <sup>2</sup> (#known)         Number of Cited Document of Cited Document         Cited Document MM-DD-YYYY           4,844,685         Thomas M. Sagaser         7-4-1989           5,062,264         Frenette et al.         11-5-1991           5,182,908         Devoer et al.         2-2-1993           5,189,940         Hosseini et al.         3-2-1993           5,333,533         Javad Hosseini         8-2-1994           5,511,458         Kamata et al.         4-30-1996           5,617,723         Hosseini et al.         4-8-1997				

Examiner Name

Attorney Docket Number

(Unassigned)

99-639

	FOREIGN PATENT DOCUMENTS									
Examiner	Foreign Patent Document		Foreign Patent Document Name of Patentee or	Name of Patentee or	Date of Publication of	Pages, Columns, Lines, Where Relevant				
Initials	No.1	Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear			
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Examiner	Date	
Signature	Considered	
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.